Unit 4: Response Actions

### **Objectives**

At the end of this unit, the participants should be able to describe the actions from all levels of government that support national response.

### Scope

- Unit Introduction
- Unit Objective
- Preparedness
  - Video: Response Actions
  - Preparedness Cycle
  - Plan
  - Self-Assessment Activity
  - Organize, Train & Equip
  - National Incident Management System
  - Exercise
  - Evaluate & Improve
  - Homeland Security Exercise and Evaluation Program
  - Knowledge Review
- Response
  - Response Overview
  - Support Annexes
  - Situational Awareness
  - Knowledge Review
  - Activation and Deployment
  - Coordination
  - Command and Management
  - Demobilization
  - Recovery
- Summary

### Methodology

The instructors will introduce the unit by displaying a visual, which outlines the unit objectives. The unit is divided into two sections: preparedness and response.

The instructors will begin by showing a video about response actions. They will then explain the preparedness cycle and it's planning stage. Participants will complete a self-assessment activity to evaluate the strength of their agency/jurisdiction's plans.

Next, instructors will explain the step of the preparedness cycle that involves organizing, training, and equipping responders. The instructors will explain how NIMS ensures that responders are properly trained and equipped so that they can work together effectively. Next, the unit covers the evaluation and improvement stage of the preparedness cycle and discusses the Homeland Security Exercise and Evaluation Program (HSEEP). Participants will then demonstrate what they've learned with a scenario-based activity.

### **Response Actions**

In the second half of the unit, the instructors will begin with an overview of response. They will next review the Support Annexes that guide response. Following a discussion of situational awareness, the participants will complete another knowledge review.

The instructors will then explain activation and deployment, coordination, and the Command and Management component of NIMS. The unit closes with demobilization and recovery.

After answering any questions that the participants have, the instructors will summarize the key points from the unit and transition to Unit 5.

### **Time Plan**

A suggested time plan for this unit is shown below. More or less time may be required, based on the experience level of the group.

Topic	Time
Unit Objective	5 minutes
Preparedness	20 minutes
Knowledge Review	5 minutes
Response	25 minutes
Summary	5 minutes
Total Time	1 hour

**Response Actions** 

# **Topic**

## **Unit Introduction**



Visual 4.1



Visual Description: Unit Introduction

### **Instructor Notes**

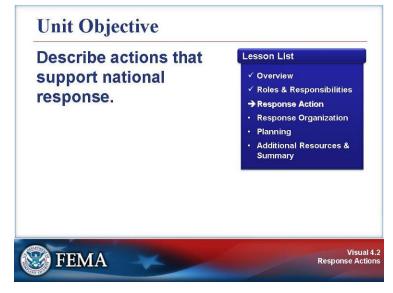
Explain that the Framework is intended to strengthen, organize, and coordinate response actions across all levels. Unit 4 describes and outlines key tasks related to the three phases of effective response: prepare, respond, and recover.

The next visual will outline the objectives for this unit.

# **Unit Objective**



Visual 4.2



Visual Description: Unit Objective

#### **Instructor Notes**

Review the unit objective with the group. Tell the participants that by the end of this unit, they should be able to describe the actions at all levels of government that support national response.

# **Lesson Topics**



Visual 4.3



Visual Description: Lesson Topic: Preparedness

### **Instructor Notes**

Explain that this unit is divided into two sections—preparedness and response. Tell the participants that the first part of the lesson covers preparedness.

**Response Actions** 

## **Topic**

Video



Visual 4.4



Visual Description: Video: Response Actions

#### **Instructor Notes**

Tell the participants that this video provides an overview of response actions.

The total running time for the video is 4:48.

### **Video Transcript:**

Responders and emergency managers are both doers and planners, which means to lead response and recovery efforts effectively, they must also prepare effectively. In this segment, we'll look at how the National Response Framework strengthens our ability to prepare for, respond to, and recover from incidents.

Let's begin with how we prepare as a Nation. Preparedness is essential for effective response. During preparedness, response partners plan; organize, train, and equip; exercise; and evaluate and improve.

Planning includes the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other arrangements to perform missions and tasks. Plans should address all hazards and be tailored to each jurisdiction.

Organizing to execute response activities includes developing an overall organizational structure, strengthening leadership at each level, and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks. The National Incident Management System, or NIMS, provides standard command and management structures used during response. These common structures enable responders from different jurisdictions and disciplines to work together to respond to incidents.

**Response Actions** 

Topic Video: Response Actions

Video Transcript: (Continued)

Once responders are equipped with resources, training helps build essential response capabilities and readiness.

Exercises provide opportunities to test plans and improve proficiency. When response partners exercise together, interagency coordination and communications are improved and capability gaps and opportunities for improvement are identified.

Evaluation and continuous improvement are cornerstones of effective preparedness. Corrective action programs help response partners to evaluate response operations, capture lessons learned, and make improvements.

Once an incident occurs, priorities shift – from building capabilities to taking actions to save lives, protect property and the environment, and preserve the social, economic, and political structure of the jurisdiction. Let's look at the four key actions that typically occur in support of a response.

Situational awareness requires continuous monitoring of relevant sources of information regarding actual and developing incidents. For an effective national response, jurisdictions must continuously refine their ability to assess the situation as an incident unfolds and rapidly provide accurate and accessible information to decisionmakers. It is essential that all response partners develop a common operating picture and synchronize their response operations and resources.

When an incident occurs, responders assess the situation, identify and prioritize requirements, and activate available resources and capabilities to save lives, protect property and the environment, and meet basic human needs.

Response is guided by the common principles, structures, and coordinating processes established by NIMS.

Demobilization is the orderly, safe, and efficient return of a resource to its original location and status. Demobilization begins as soon as possible to facilitate accountability of the resources and to make resources available for other incidents as needed.

Once immediate lifesaving activities are complete, the focus shifts to recovery. During short-term recovery, basic services and functions are restored. In the long term, recovery is a restoration of both the personal lives of individuals and the livelihood of the community.

Each member of our society, including our leaders, professional emergency managers, privatesector representatives, and nongovernmental organizations plays a vital role in strengthening the Nation's response capabilities. The partnerships fostered by the National Response Framework greatly improve our ability to work together to prepare, respond, and recover.

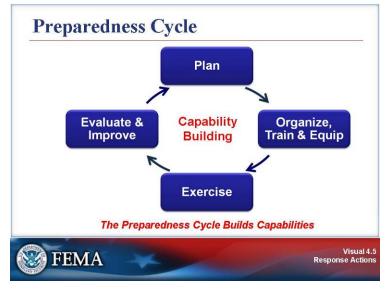
**Response Actions** 

# **Topic**

## **Preparedness Cycle**



Visual 4.5



Visual Description: Preparedness Cycle: Plan, Organize, Train, Equip, Exercise, Evaluate, Improve

#### **Instructor Notes**

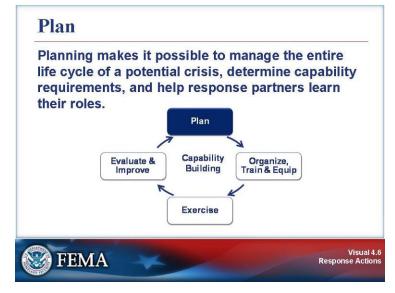
Remind participants that, as described in the video presentation, preparedness is essential for effective response.

Note that the next portion of this lesson briefly reviews the six essential activities for preparing to respond to an incident: plan, organize, train, equip, exercise, and evaluate and improve.

Plan



Visual 4.6



Visual Description: Preparedness Cycle: Plan

#### **Instructor Notes**

Explain that planning makes it possible to manage the entire life cycle of a potential crisis, determine capability requirements, and help response partners learn their roles. In addition, planning:

- Includes the collection and analysis of intelligence and information, as well as the development of policies, plans, procedures, mutual aid and assistance agreements, strategies, and other arrangements to perform missions and tasks.
- Improves effectiveness by clearly defining required capabilities, shortening the time required to gain control of an incident, and facilitating the rapid exchange of information.

Have the participants take a few minutes to complete the self-assessment checklist on the next page in their Student Manuals.

# **Topic** Self-Assessment Activity

**Instructions:** Complete the following self-assessment of your jurisdiction's, agency's, and organization's plans. When you are finished, click on the Submit button.

Our Plans	Yes	No
Are developed using hazard identification and risk assessment methodologies.		
Are all-hazards in scope while providing hazard-specific guidance.		
Define leadership roles and responsibilities.		
Identify the decisions that need to be made, who will make them, and when.		
Are integrated, operational, and incorporate key private-sector and nongovernmental elements.		
Include provisions for all persons, including special needs populations and those with household pets.		
Address all contingencies across various scenarios, including no-notice and forewarned events.		
Are augmented by specific procedures and protocols to guide rapid implementation.		
Are living documents that are updated continuously based on changing conditions and lessons learned.		

### **Organize, Train & Equip**



Visual 4.7



Visual Description: Preparedness Cycle: Organize, Train & Equip

#### **Instructor Notes**

Present the following points to the group:

**Organize:** Executing response activities includes developing an overall organizational structure, strengthening leadership at each level, and assembling well-qualified teams of paid and volunteer staff for essential response and recovery tasks.

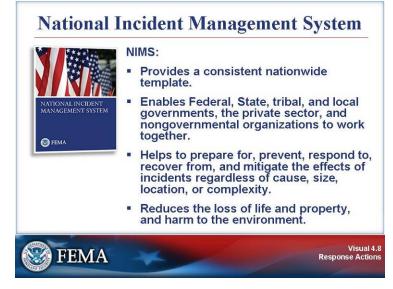
**Train:** Building essential response capabilities nationwide requires a systematic program to train individual teams and organizations – to include governmental, nongovernmental, private-sector, and voluntary organizations – to meet a common baseline of performance and certification standards.

**Equip:** It is critical to acquire equipment that will perform to established standards, including the capability to be interoperable with equipment used by other jurisdictions and/or participating organizations.

### **National Incident Management System**



Visual 4.8



Visual Description: National Incident Management System

#### **Instructor Notes**

Explain that the National Incident Management System (NIMS) provides a comprehensive framework to ensure that responders from across the country are organized, trained, and equipped in a manner that allows them to work together seamlessly.

Tell the participants that response organizations should:

- Conduct a thorough, systematic inventory of their response resources.
- Establish resource management practices that conform to NIMS.
- Have a cadre of personnel (which can include full-time employees, temporary or reserve personnel, and contractors) who are trained in incident management and response principles and organized into teams.
- Pre-position resources close to those localities most at risk.

**Response Actions** 

## **Topic**

### **Discussion Questions**



Visual 4.9



**Visual Description:** Why is planning important? What steps can you take to ensure that responders work together seamlessly?

#### **Instructor Notes**

Facilitate a discussion by asking the participants the following questions:

### Why is planning important?

If not mentioned by participants, note that planning is the cornerstone of preparedness. Planning improves effectiveness by clearly defining required capabilities, shortening the time required to gain control of an incident, and facilitating the rapid exchange of information.

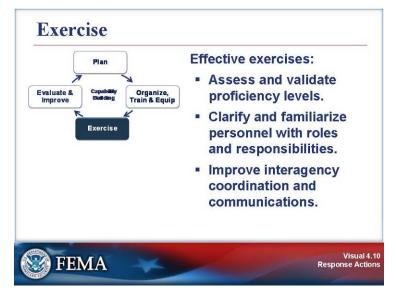
### What steps can you take to ensure that responders work together seamlessly?

If not mentioned by participants, explain that an organization can ensure that its resources are organized, trained, and equipped in a manner that allows responders to work together seamlessly by following NIMS. The NIMS Preparedness and Resource Management components provide a systematic process for ensuring that responders are organized, trained, and equipped.

### **Exercise**



Visual 4.10



Visual Description: Preparedness Cycle: Exercise

#### **Instructor Notes**

Explain to the participants that exercises provide opportunities to test plans and improve proficiency in a risk-free environment. Effective exercises:

- Assess and validate proficiency levels.
- Clarify and familiarize personnel with roles and responsibilities.
- Improve interagency coordination and communications, highlight capability gaps, and identify opportunities for improvement.

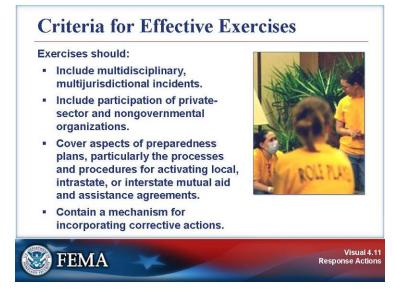
Note that local, tribal, State, and Federal jurisdictions should exercise their own response capabilities and evaluate their abilities to perform expected responsibilities and tasks. This is a basic responsibility of all entities and is distinct from participation in other interagency exercise programs.

Explain that the Department of Homeland Security (DHS) coordinates the National Exercise Program, which requires Federal departments and agencies to participate in an exercise program based upon the National Planning Scenarios contained in the National Preparedness Guidelines. This program coordinates and, where appropriate, integrates a 5-year homeland security exercise schedule across Federal agencies and incorporates exercises at the State and local levels.

### **Exercise**



Visual 4.11



Visual Description: Criteria for Effective Exercises

#### **Instructor Notes**

Explain to the participants that exercises should:

- Include multidisciplinary, multijurisdictional incidents.
- Include participation of private-sector and nongovernmental organizations.
- Cover aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, or interstate mutual aid and assistance agreements.
- Contain a mechanism for incorporating corrective actions.

### **Evaluate and Improve**



Visual 4.12



Visual Description: Preparedness Cycle: Evaluate and Improve

#### **Instructor Notes**

Evaluation and continual process improvement are cornerstones of effective preparedness. Upon concluding an exercise or significant response, jurisdictions should:

- Evaluate performance against relevant capability objectives and identify gaps.
- Develop corrective action plans with specific recommendations for changes in practice, timelines for implementation, and assignments for completion.

All local, tribal, State, and Federal entities should institute a corrective action program to evaluate exercise participation and response, capture lessons learned, and make improvements in their response capabilities.

## **Homeland Security Exercise and Evaluation Program**



Visual 4.13



Visual Description: Homeland Security Exercise and Evaluation Program (HSEEP)

#### **Instructor Notes**

Describe the Homeland Security Exercise and Evaluation Program (HSEEP), which:

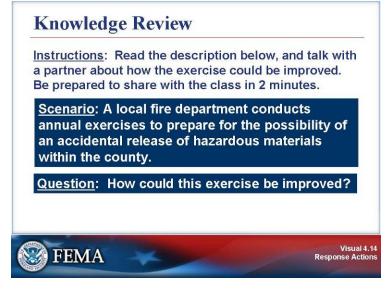
- Is a capabilities- and performance-based exercise program.
- Establishes standardized policy, methodology, and language for designing, developing, conducting, and evaluating all exercises.
- Provides tools and resources including policy and guidance, training, technology, and direct exercise support.

Note that the HSEEP Toolkit is a Web-based system that enables implementation of the corrective action program process.

### **Knowledge Review**



Visual 4.14



Visual Description: Knowledge Review

#### **Instructor Notes**

Review the scenario on the visual and have participants talk with a partner about how the exercise could be improved. Tell the participants that they should be prepared to share their answers with the class in 2 minutes.

<u>Scenario</u>: A local fire department conducts annual exercises to prepare for the possibility of an accidental release of hazardous materials within the county.

**Question:** How could this exercise be improved?

Facilitate a discussion. If not mentioned by participants, note that exercises should include multidisciplinary, multijurisdictional incidents and involve participation of private-sector and nongovernmental organizations. Exercises should cover aspects of preparedness plans, particularly the processes and procedures for activating local, intrastate, and interstate mutual aid and assistance agreements.

**Response Actions** 

## **Topic**

# **Lesson Topics**



Visual 4.15



Visual Description: Lesson Topic: Response

#### **Instructor Notes**

Remind the participants that the National Response Framework is required by, and integrates under, a larger National Strategy for Homeland Security that:

- Serves to guide, organize, and unify our Nation's homeland security efforts.
- Reflects our increased understanding of the threats confronting the United States.
- Incorporates lessons learned from exercises and real-world catastrophes.
- Articulates how we should ensure our long-term success by strengthening the homeland security foundation we have built.

Note that in the context of the overall National Strategy, the NRF primarily focuses on the third goal of "responding to and recovering from incidents."

Explain that the next part of this unit covers response.

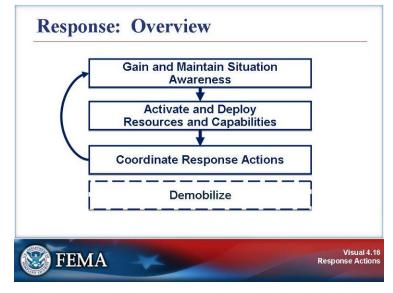
### **Response Actions**

# Topic

**Response: Overview** 



Visual 4.16



Visual Description: Response: Overview

#### **Instructor Notes**

Tell the participants that, depending on the size, scope, and magnitude of an incident, communities, States, and, in some cases, the Federal Government will respond.

Note that the next part of this lesson covers four key actions that typically occur in support of a response:

- Gain and maintain situational awareness;
- Activate and deploy key resources and capabilities;
- Coordinate response actions; and
- Demobilize.

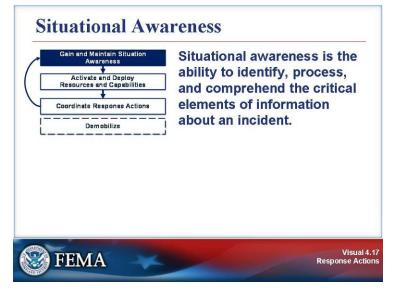
### **Response Actions**

## **Topic**

### **Situational Awareness**



Visual 4.17



Visual Description: Gain and Maintain Situational Awareness

#### **Instructor Notes**

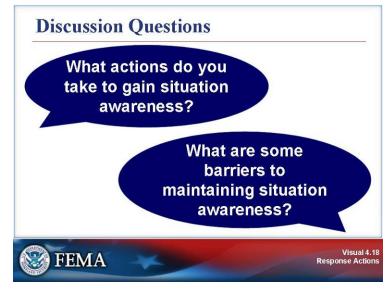
Tell the participants that situational awareness requires continuous monitoring of relevant sources of information regarding actual and developing incidents.

Explain that the scope and type of monitoring vary based on the type of incidents being evaluated and needed reporting thresholds. Critical information is passed through established reporting channels according to established security protocols.

### **Discussion Questions**



Visual 4.18



**Visual Description:** What actions do you take to gain situation awareness? What are some barriers to maintaining situation awareness?

#### **Instructor Notes**

Transition into the topic of situational awareness by facilitating a discussion. Ask the participants:

What actions do you take to gain situational awareness?

What are some barriers to maintaining situation awareness?

## Present the following example:

The Mid-America Regional Council (MARC) serves as the association of city and county governments and the metropolitan planning organization for the bi-State Kansas City metropolitan region. MARC has developed a system that allows emergency responders to share information and to coordinate planning and responses for large-scale incidents by:

- Connecting approximately 100 government agencies and private organizations across 8 counties and 2 States in the Kansas City region.
- Allowing agencies throughout the region to share data on emergency personnel, plans, and assets.
- Sharing purchasing guidelines and fund management information.

### **Situational Awareness**



Visual 4.19



Visual Description: Situational Awareness Priorities

#### **Instructor Notes**

Explain that for an effective national response, jurisdictions must continuously refine their ability to assess the situation as an incident unfolds and rapidly provide accurate and accessible information to decisionmakers in a user-friendly manner. It is essential that all levels of government, the private sector (in particular, owners/operators of critical infrastructure and key resources), and nongovernmental organizations share information to develop a common operating picture and synchronize their response operations and resources.

Present the following points about situational awareness priorities:

### Improving and integrating national reporting.

Situational awareness must start at the incident scene and be effectively communicated to local, tribal, State, and Federal governments and the private sector, to include critical infrastructure and key resources. Jurisdictions must integrate existing reporting systems to develop an information and knowledge management system that fulfills national information requirements.

### Linking operations centers and tapping subject-matter experts.

Local governments, tribes, States, and the Federal Government have a wide range of operations centers that monitor events and provide situational awareness. Based on their roles and responsibilities, operations centers should identify information requirements, establish reporting thresholds, and be familiar with the expectations of decisionmakers and partners. Situational awareness is greatly improved when experienced technical specialists identify critical elements of information and use them to form a common operating picture.

(Continued on the next page.)

Unit 4 Response Actions

Topic Situational Awareness

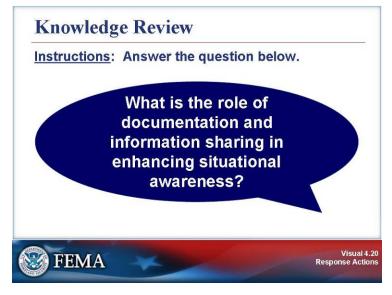
## Standardizing reporting.

Reporting and documentation procedures should be standardized to enhance situational awareness and provide emergency management and response personnel with ready access to critical information. Situation reports should contain verified information and explicit details (who, what, where, when, and how) related to the incident. Status reports, which may be contained in situation reports, relay specific information about resources. Based on an analysis of the threats, jurisdictions issue accessible warnings to the public and provide emergency public information.

## **Knowledge Review**



Visual 4.20



**Visual Description:** What is the role of the documentation and information sharing in enhancing situational awareness?

#### **Instructor Notes**

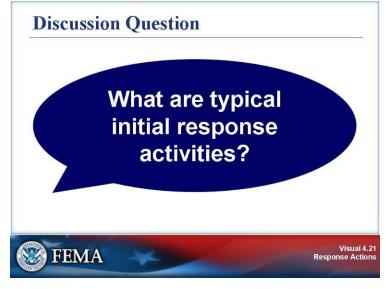
Ask the participants: What is the role of documentation and information sharing in enhancing situational awareness?

Facilitate a discussion. If not mentioned by participants, add that gaining and maintaining situational awareness requires that critical information is passed through established reporting channels according to established security protocols.

## **Discussion Question**



Visual 4.21



Visual Description: What are some typical initial response activities?

#### **Instructor Notes**

### Ask the participants: What are some typical initial response activities?

Facilitate a discussion. If not mentioned by participants, provide the following examples:

- Warning the public and providing accessible emergency public information.
- Implementing evacuation and sheltering plans that include provisions for special needs populations and household pets.
- Sheltering evacuees in preidentified, physically accessible shelters.
- Providing food, water, and other necessities to meet the needs of all people, including persons with disabilities and other special needs.
- Performing search and rescue.
- Treating the injured.
- Providing law enforcement and investigation.
- Controlling hazards (extinguishing fires, containing hazardous materials spills, etc.).
- Ensuring responder safety and health.

### **Activation and Deployment**



Visual 4.22



Visual Description: Activate and Deploy Resources and Capabilities

#### **Instructor Notes**

Explain to the participants that, at the onset of an incident or planned event, responders establish command and then:

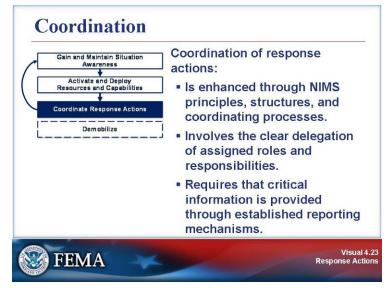
- Assess the situation.
- Identify and prioritize requirements.
- Establish incident objectives.
- Activate available resources and capabilities to save lives, protect property and the environment, and meet basic human needs.

At the scene, Incident Commanders develop Incident Action Plans while local, tribal, State, and/or Federal Government entities develop plans for coordinating support efforts.

## Coordination



Visual 4.23



Visual Description: Coordinate Response Actions

#### **Instructor Notes**

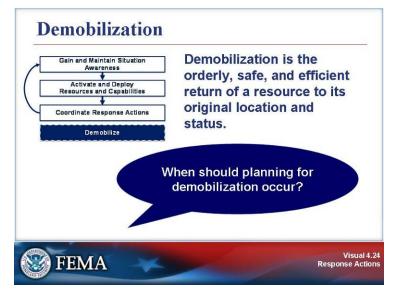
Describe how coordination of response actions:

- Is enhanced through NIMS principles, structures, and coordinating processes.
- Involves the clear delegation of assigned roles and responsibilities.
- Requires that critical information is provided through established reporting mechanisms.

### **Demobilization**



Visual 4.24



Visual Description: Demobilize: When should planning for demobilization occur?

#### **Instructor Notes**

Explain to participants that Incident managers should plan and prepare for the demobilization process at the same time that they begin the resource mobilization process.

Tell the group that early planning for demobilization facilitates accountability and makes the logistical management of resources as efficient as possible – in terms of both costs and time of delivery.

### Recovery



Visual 4.25



Visual Description: Recovery

#### **Instructor Notes**

Describe how, after immediate lifesaving activities are complete, the focus shifts to assisting individuals, households, critical infrastructure, and businesses in meeting basic needs and returning to self-sufficiency.

Explain that short-term recovery is immediate and overlaps with response. Recovery actions include providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes, and providing food and shelter for those displaced by the incident. Although called "short term," some of these activities may last for weeks.

Note that long-term recovery, which is outside the scope of the National Response Framework, may involve some of the same actions but may continue for a number of months or years.

**Response Actions** 

## **Topic**

## **Discussion Questions**



Visual 4.26



Visual Description: What is the goal of short-term recovery? When does short-term recovery begin?

#### **Instructor Notes**

Facilitate a discussion by asking the following questions:

What is the goal of short-term recovery?

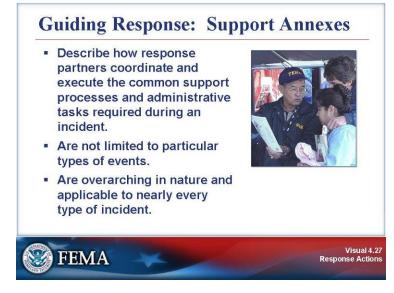
### When does short-term recovery begin?

If not mentioned by participants, explain that short-term recovery is immediate and overlaps with response. Recovery actions include providing essential public health and safety services, restoring interrupted utility and other essential services, reestablishing transportation routes, and providing food and shelter for those displaced by the incident. Although called "short term," some of these activities may last for weeks.

### **Support Annexes**



Visual 4.27



Visual Description: Guiding Response: Support Annexes

#### **Instructor Notes**

Explain to the participants that the Support Annexes guide response because they:

- Describe how response partners coordinate and execute the common support processes and administrative tasks required during an incident.
- Are not limited to particular types of events.
- Are overarching in nature and applicable to nearly every type of incident.

## **Support Annexes**



Visual 4.28



Visual Description: List of Support Annexes

### **Instructor Notes**

Use the information on the visual and the following pages to review the different Support Annexes with the participants.

**Support Annexes** 

### **Critical Infrastructure and Key Resources Support Annex**

The Critical Infrastructure and Key Resources Support Annex describes policies, roles and responsibilities, and the concept of operations for assessing, prioritizing, protecting, and restoring critical infrastructure and key resources (CIKR) of the United States and its territories and possessions during actual or potential domestic incidents. The annex details processes to ensure coordination and integration of CIKR-related activities among a wide array of public and private incident managers and CIKR security partners within immediate incident areas as well as at the regional and national levels.

## **Financial Management Support Annex**

The Financial Management Support Annex provides basic financial management guidance for all participants in NRF activities. This includes guidance for all Federal departments and agencies providing assistance for incidents requiring a coordinated Federal response. The financial management function is a component of Emergency Support Function #5 – Emergency Management.

The processes and procedures described in this annex ensure that funds are provided expeditiously and that financial operations are conducted in accordance with established Federal law, policies, regulations, and standards.

### **International Coordination Support Annex**

The International Coordination Support Annex provides guidance on carrying out responsibilities for international coordination in support of the Federal Government's response to a domestic incident with an international component.

## **Private-Sector Coordination Support Annex**

The Private-Sector Coordination Support Annex describes the policies, responsibilities, and concept of operations for Federal incident management activities involving the private sector during incidents requiring a coordinated Federal response. In this context, the annex further describes the activities necessary to ensure effective coordination and integration with the private sector, both for-profit and not-for-profit, including the Nation's critical infrastructure, key resources, other business and industry components, and not-for-profit organizations, including those serving special needs populations, engaged in response and recovery.

#### **Public Affairs Support Annex**

The Public Affairs Support Annex describes the interagency policies and procedures used to rapidly mobilize Federal assets to prepare and deliver coordinated and sustained messages to the public in response to incidents requiring a coordinated Federal response.

### **Tribal Relations Support Annex**

The Tribal Relations Support Annex describes the policies, responsibilities, and concept of operations for effective coordination and interaction of Federal incident management activities with those of tribal governments and communities during incidents requiring a coordinated Federal response. The processes and functions described in this annex help facilitate the delivery of incident management programs, resources, and support to tribal governments and individuals.

(Continued on next page.)

Unit 4 Response Actions

**Topic** Support Annexes

## **Volunteer and Donations Management Support Annex**

The Volunteer and Donations Management Support Annex describes the coordination processes used to support the State in ensuring the most efficient and effective use of unaffiliated volunteers, unaffiliated organizations, and unsolicited donated goods to support all Emergency Support Functions for incidents requiring a Federal response, including offers of unaffiliated volunteer services and unsolicited donations to the Federal Government.

## **Worker Safety and Health Support Annex**

The Worker Safety and Health Support Annex provides Federal support to Federal, State, tribal, and local response and recovery worker safety and health during incidents requiring a coordinated Federal response. The annex, coordinated by the Department of Labor/Occupational Safety and Health Administration (OSHA), describes the technical assistance resources, capabilities, and other support to ensure that response and recovery worker safety and health risks are anticipated, recognized, evaluated, communicated, and consistently controlled.

### **Summary**



Visual 4.29



Visual Description: Summary

#### **Instructor Notes**

Ask the participants if they are now able to describe:

- The preparedness cycle used for capability building.
- The key actions that typically occur in support of a response.

### Ask if anyone has any questions about anything covered in this unit.

Transition to the next unit by explaining that it presents common organizational structures used in nationwide response.